

Module 14

Complaints Action Tracking System Application Using the Modern DCPDS

Module Overview

Purpose

This module introduces the Complaints Action Tracking System (CATS) application. This application:

- Is an optional system for tracking complaints.
- Allows you to maintain information about the Equal Employment Opportunity (EEO) cases handled by your organization.
- Interfaces with the modern Defense Civilian Personnel Data System (DCPDS) to view employee information, but does not update Oracle Human Resources (HR).
- Tracks complaints from first contact of a complainant through the final decision.
- Supports applicants, employees, external employees, and ex-employees.
- Is being developed in two phases:
 - The current phase includes the ability to track a complaint from initial contact through the final decision, appeal(s), and corrective action(s).
 - The phase under development includes direct costs, additional business rules, and reports.



Note: There are limited business rules in the current phase.

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Modern DCPDS Background

The modern DCPDS is comprised of several components:

- The core of the modern DCPDS is Oracle HR (Human Resources). This is where end-users create, coordinate, and process Request for Personnel Actions (RPAs), and where employee and position data are stored and updated, as well as, system security is maintained.
- Customer Support Unit (CSU) Application is a separate application of the modern DCPDS. It is a “read-only” database used for querying personnel and running ad hoc reports. COREDOC, Resumix™, Oracle Training Administration (OTA), and CATS (Complaints Action Tracking System) are additional applications that interface with modern DCPDS. Other applications that interface with the modern DCPDS Corporate Management Information System (CMIS) and Defense Civilian Payroll System (DCPS).

Who Does It?



Authorized personnel and those with appropriate responsibility (CIVDOD EEO Assistant, CIVDOD EEO HR View Only, CIVDOD EEO Headquarters, CIVDOD EEO Official, and CIVDOD EEO Specialist) will be able to access EEO complaints at any stage of the complaint.

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CATS Description

CATS uses a series of Alternate Regions and Taskflow Buttons from a single window that follow a standard complaint sequence to capture information related to the complaint. It maintains an accurate history of the complaint as it progresses, including entering multiple records for:

- People associated with a complaint.
- Claims, bases, and incidents associated with a complaint.
- Corrective actions that result from hearings or settlement meetings.
- Alternative Dispute Resolution (ADR) sessions conducted in the pre-complaint or formal complaint stages.
- Complainant and agency appeals.
- Notes can be attached to the complaint at any stage by the appropriate user.
- Recording the stage or phase of the process (Pre-Complaint, Formal, or Hearing Stage).

The *Status* changes and displays in the Title Bar on the **Complaints** Window when you select or enter certain data.

◆Example:

If you select or enter	The Status changes to
<i>Class Agent</i> in the Pre-Complaint Region	Class Action.
A date in the <i>Date Consolidation</i> data field of the Consolidation Region	Consolidation.
The <i>Mixed</i> Checkbox for a claim in the Claims Window	Mixed.
<i>Remand</i> as the Office of Federal Operations (OFO) decision in Complainant Appeal Window	Remand.
<i>Date Complaint Closed</i> data field of the Closure Region	Inactive.

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Before You Begin

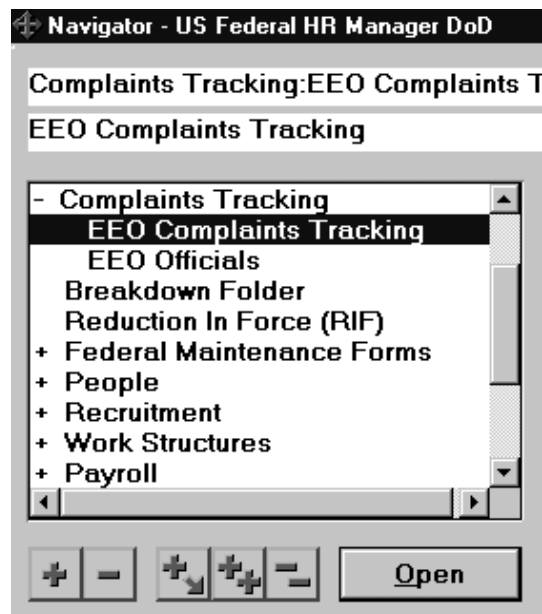
Navigate to the **Complaints** Window by selecting *EEO Complaints Tracking* from the **Navigation List**. The **Find Complaints** Window displays for accessing the main **Complaints** Window.

However, you can track people outside your database (complainants, officials, administrative judges, etc.) by using the **People** Window to build a limited person record. From the Navigation path, click *Complaints Tracking* → *EEO Officials* → <OPEN>. The **Find Person** Window displays to access the **People** Window. After completion of the **People** Window, the person's name will be listed on the List of Values (LOV) for building complaint records. (See Chapter 2 in this Module.)

CATS Navigation List

◆Example:

Used to build a record
for a person outside
your database

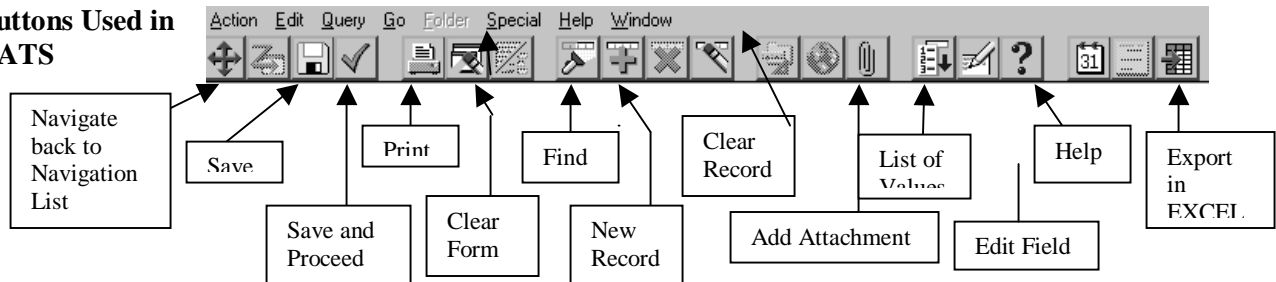


The **Find
Complaints
Window**

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Tool Bar Buttons Used in CATS



Description of Complaints Window

CATS uses the **Complaints** Window to complete a complaint record. The window contains three areas:

- **Header** (Docket, Stage, Complainant Name, SSN)
- **Region** (Complainant, Pre-Complaint, Pre-Complaint Counsel, Pre-Complaint Closure, Formal Complaint, Investigation, etc.)
- **Taskflow Button** (Multiple occurrences on a complaint, i.e., Claims, ADR, Appeals, etc.)



Note: You may attach documents to the **Complaints** Window, if needed.

The Complaints Window ♦Example:

Header →

Used to access the
Alternate Regions →

The screenshot shows the 'COMPLAINTS' window. The 'Header' section includes fields for 'Docket', 'Stage', 'Complainant Name', and 'Social Security Number'. The 'Region' section has a dropdown menu set to 'Pre-Complaint'. Below this are several date fields: 'Information Inquiry', 'Pre-Complaint Initiated', 'Alleged Incident', 'Rights/Resp Letter Issued', 'Rights/Resp Letter Recvd', 'Pre-Complaint Election', 'Alleged Discrim Org', 'ADR Offered', and 'Class Agent'. A 'Pre-Complaint Description' text area is also present. At the bottom, there are 'Taskflow Buttons' for 'Complaint People', 'Claims', 'ADR', 'Corrective Actions', 'Appeals', 'Agency Appeals', and 'Person'.

Taskflow Buttons →

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Data Fields and Buttons on the Complaints Window

The **Complaints** Window contains different regions to access depending on the data to be stored. The first **Complaints** Window will display the **Complainant** Alternate Region.

Data Fields	Description/Action
Header	
Docket	<p>May be configured by each Component. It is the main docket number and does not change throughout the process of the complaint. Other docket numbers are driven by each action, e.g., the AJ Hearing Docket Number on the Hearing Window.</p> <p>It is a systems-generated number configured by Components:</p> <ul style="list-style-type: none"> • Agency Code (AR, NV, DD, etc.) – 2 characters. • EEO Office ID (Army) or any other unique identifier, such UIC, CCPO ID- up to eight characters. • Fiscal Year (01) – 2 characters. • Current Month (JUN) – 3 characters • System-generated sequence number – 5 characters. <p>Example: DD-12345678-01-JUN-12345</p> <p>The Docket Number is linked to the person building the CATS record. For example, if the EEO Specialist building the Complaint Record works at Fort Sam Houston, the systems will generate a Docket Number based on the EEO Office ID at Fort Sam Houston, or on the UIC, CCPO ID, or other Component or Agency identifier.</p> <p>NOTE:</p> <ul style="list-style-type: none"> • For the system to generate the number, the person building the CATS record must be an employee or an external user in the database. • Once the Docket Number is generated, it cannot be changed.

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Data Fields	Description/Action
Header	
<i>Complainant Name</i>	Employee, applicants, external employees, and ex-employees.
<i>Stage</i>	Contains the list of stages involved with a complaint. Scroll down and make a selection depending on the type action you need to complete.
<i>Social Security Number</i>	Automatically populates based on Complainant Name.
Regions	Described In Chapter 2 of this module.
Taskflow Buttons	
<i>Complaint People</i>	Used to store a list of all the people associated with the complaint, from witnesses to the Administrative Judges (AJ) who make the case decisions.
<i>Claims</i>	Used to capture the claims, bases, and incidents associated with the complaint. <ul style="list-style-type: none"> • A Claim is the legal charge a complainant brings against the Agency. • The Bases Alternate Region is a more detailed list of the laws the complainant feels were violated. • The Incident Alternate Region is a narrative of the actions involved in the claim.

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Module Overview, Continued

Data Fields and Buttons on the Complaints Window (continued)

Data Fields	Description/Action								
Taskflow Buttons (cont)									
<i>Alternative Dispute Resolution (ADR)</i>	Used to collect the details of each ADR session including the result. Agency Counselors attempt to resolve the complaint to save costs associated with continuing the complaint process.								
<i>Corrective Actions</i>	Used to store the orders placed on the Agency by themselves, an AJ, or the Office of Federal Operations (OFO). Orders include one or many detailed actions the agency must comply with in order to close the complaint.								
	<table> <tr> <th>If</th><th>Then</th></tr> <tr> <td>The agency does not agree with the Complaint Decision,</td><td>They can perform an Agency Appeal.</td></tr> <tr> <td>The complainant disagrees with the Complaint Decision,</td><td>They can appeal via the Complainant Appeal process.</td></tr> <tr> <td>The case is mixed,</td><td>The Appeal is treated as mixed and may be handled by the Merit Systems Protection Board (MSPB). Non-mixed complainant appeals may be handled by the Office of Federal Operations (OFO).</td></tr> </table>	If	Then	The agency does not agree with the Complaint Decision,	They can perform an Agency Appeal.	The complainant disagrees with the Complaint Decision,	They can appeal via the Complainant Appeal process.	The case is mixed,	The Appeal is treated as mixed and may be handled by the Merit Systems Protection Board (MSPB). Non-mixed complainant appeals may be handled by the Office of Federal Operations (OFO).
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<i>Appeals</i>	Records key dates for case files and briefs, as well as outcome of the appeal process.								
<i>Agency Costs</i>	Used to capture the costs an agency incurs by handling a complaint.								
<i>Agency Appeals</i>	Used if the organization disagrees with the decision reached on a complaint or specific corrective action.								
<i>Person</i>	Used to access the People Window to view Age, Sex, Address, Phone Numbers, etc.								

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Module Overview, Continued

Linking a Current User to the EEO Office ID, UIC, or CCPO ID

Follow these steps to link a current CATS user to the EEO Office ID or other unique identifier such as a Unit Identification Code (UIC) or CCPO ID. These steps must be completed if the Docket Number is to be generated based on the “location” of the user building the initial CATS record.

Step	Action
1	Click GHR Complaints Tracking → EEO Officials .
2	Type the <i>Last Name</i> of the CATS user, or select the Name from the LOV and click <OK>.
3	Click < Extra Information >. The EEO Information Descriptive Flexfield displays.
4	Use the LOV to select the <i>Agency Code</i> .
5	Select <i>EEO Office ID</i> .
6	Save your work.
7	Exit.
8	Log on to the application using the Username and Password of the CATS user you just linked to the <i>EEO Office ID</i> .
9	Begin building a “NEW” complaint. After you enter the Complainant Name , SSN , or Stage and click SAVE, the Docket Number generates.

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Linking a User Not Currently in the Database to the EEO Office ID, UIC, or CCPO ID

If a person needs to build a CATS complaint and is not currently in the database, you or your System Administrator will follow these steps. Once this is accomplished, the Docket Number will generate based on the “location” of the external CATS user.

Step	Action
1	Build a Virtual Position (the <i>Job Series</i> = “0003,” <i>Type</i> is “EXT.” (Refer to the Modern DCPDS User Guide, Module 2, Chap 1, Building a Virtual Position.)
2	Build an External User and attach the person to the Virtual Position (Refer to the Modern DCPDS User Guide, Module 4, Chap 2, Building an External User.)
3	Build a CATS user. You must have the privilege of CIVDOD SYSADMIN REGION GUI.
4	On the Navigation List , click <i>Security</i> → <i>User</i> → <i>Define</i> .
5	Link the CATS user to the EEO Office ID, as described above.
6	Test the auto-generation of the Docket Number by logging on as the External CATS user and follow Steps 9 and 10 in the instructions: “Linking a Current User to the EEO Office ID, UIC, or CCPO ID.”

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Terms and Definitions

Term	Definition
ADR	Alternative Dispute Resolution.
AJ	Administrative Judge.
CATS	Complaints Action Tracking System.
CMIS	Corporate Management Information System.
Complainant	Person who files a pre-complaint or a formal complaint.
CSU	Civilian Servicing Unit.
DCPS	Defense Civilian Payroll System.
Docket	A number assigned to each complaint for tracking purposes.
External User	A person outside the database who needs to build a CATS complaint record.
LOV	List of values.
Modern HR	Modern DCPDS.
MSPB	Merit Systems Protection Board.
OFO	Office of Federal Operations.
PFE	Petition for Enforcement.
Virtual Position	A position used for external users who are not in the database.

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